

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

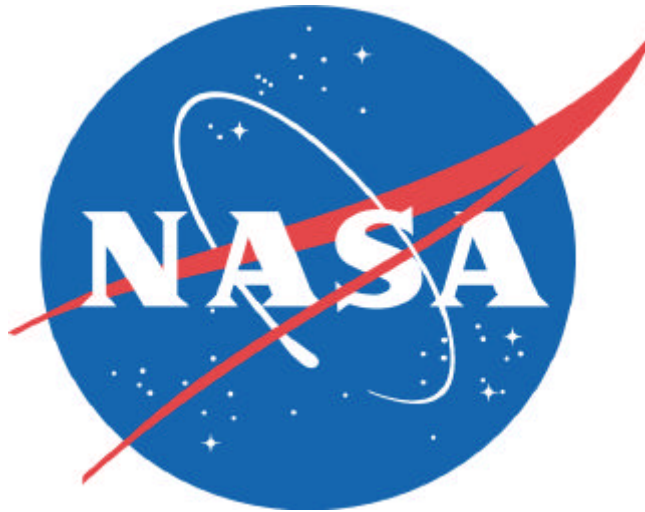
11/16/1999

Assistant Associate Administrator for Strategic and International Planning (AAA/SIP)

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**Subject: Strategic Planning**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

# **Strategic Planning**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (11/16/1999)

Dr. Earle K. Huckins

Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S] 11/16/1999  
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<b>STATUS (BASELINE/ REVISION/ CANCELED)</b>	<b>DOCUMENT REVISION</b>	<b>EFFECTIVE DATE</b>	<b>DESCRIPTION</b>
Baseline		02/01/1999	<ul style="list-style-type: none"><li>Initial "baseline" version of the OWI.</li></ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"><li>Incorporates modifications responsive to NCRs #257 and #260 from the NASA HQ-internal ISO-9001 Round #2 audit and NCRs #279, #284, #289, #291, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.</li></ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"><li>Adds GPRA to list of references in Section #4.</li><li>Clarifies "review" and "approval" activities in Section #6.</li><li>Incorporates recent terminology and format standardization.</li></ul>

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**1. PURPOSE** The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and promulgates the Strategic Plan (SP) of the Space Science Enterprise (SSE). Elements of the SSE SP are subsequently incorporated into the NASA Strategic Plan, required by the Government Performance and Results Act (GPRA) of 1993.

**2. SCOPE AND APPLICABILITY**

2.1 Preparation of the SSE SP is the responsibility of the OSS Headquarters science management, working with the scientific guidance of the broad research community and under the programmatic guidance of the Associate Administrator for Space Science (AA), with coordinating support from the Assistant Associate Administrator for Space Science (Strategic and International Planning) (AAA/SIP). This OWI is applicable to all aspects of these activities.

**3. DEFINITIONS**

3.1 AA. Associate Administrator for Space Science.

3.2 AAA/SIP. Assistant Associate Administrator for Space Science (Strategic and International Planning).

3.3 Code A. NASA Headquarters Office of the Administrator.

3.4 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).

3.5 Code SA. OSS Science Board of Directors.

3.6 Code SM. OSS Advanced Technology and Mission Studies Division.

3.7 Code Z. NASA Headquarters Office of Policy and Plans.

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- 3.8            Community. The broad space-science research community, including researchers at universities, NASA Centers, and in industry. In addition to informal consultation, formal communication with the community occurs through participation of community members on the SScAC, roadmapping teams, and entities of the NRC.
- 3.9            Far-Term. The interval of time that extends beyond the mid-term.
- 3.10          Mid-Term. The interval of time that begins 7 years from the current Strategic Plan date and extends through the following 6-year period.
- 3.11          Near-Term. The interval of time that begins 2 years from the current Strategic Plan date and extends through the following 5-year period.
- 3.12          NRC. National Research Council.
- 3.13          OSS. NASA Headquarters Office of Space Science.
- 3.14          Roadmaps. Informal documents assembled by representatives of the research community that describe alternative future flight, research, and technology-development programs within their areas of competence.
- 3.15          SSB. Space Studies Board of the NRC.
- 3.16          SScAC. Space Science Advisory Committee, which is the primary committee of the NASA Advisory Council with cognizance of activities of the OSS.
- 3.17          SSE. Space Science Enterprise.

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**4. REFERENCES**

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|------|--------------------------|---|
| 4.1  | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems --<br>Model for Quality Assurance in Design,<br>Development, Production, Installation, and<br>Servicing |
| 4.2  | HCP1280-2                | Corrective and Preventive Action  |
| 4.3  | HCP1280-3                | Internal Quality Audits   |
| 4.4  | HCP1400-1                | Document and Data Control   |
| 4.5  | HCP3410-4                | Employee Training   |
| 4.6  | HQPC1150.1               | NASA Headquarters Quality Council Policy<br>Charter   |
| 4.7  | HQSM1200-1               | NASA Headquarters Quality System Manual   |
| 4.8  | NHB 1101.3               | NASA Organization Handbook  |
| 4.9  | NPD 1000.1               | NASA Strategic Plan   |
| 4.10 | NPD 8730.3               | NASA Quality Management System Policy (ISO<br>9000)   |
| 4.11 | NPG 1000.2               | NASA Strategic Management Handbook  |
| 4.12 | NPG 1441.1               | NASA Records Retention Schedules (NRRS)   |
| 4.13 |                          | Government Performance and Results Act<br>(GPRA) of 1993  |

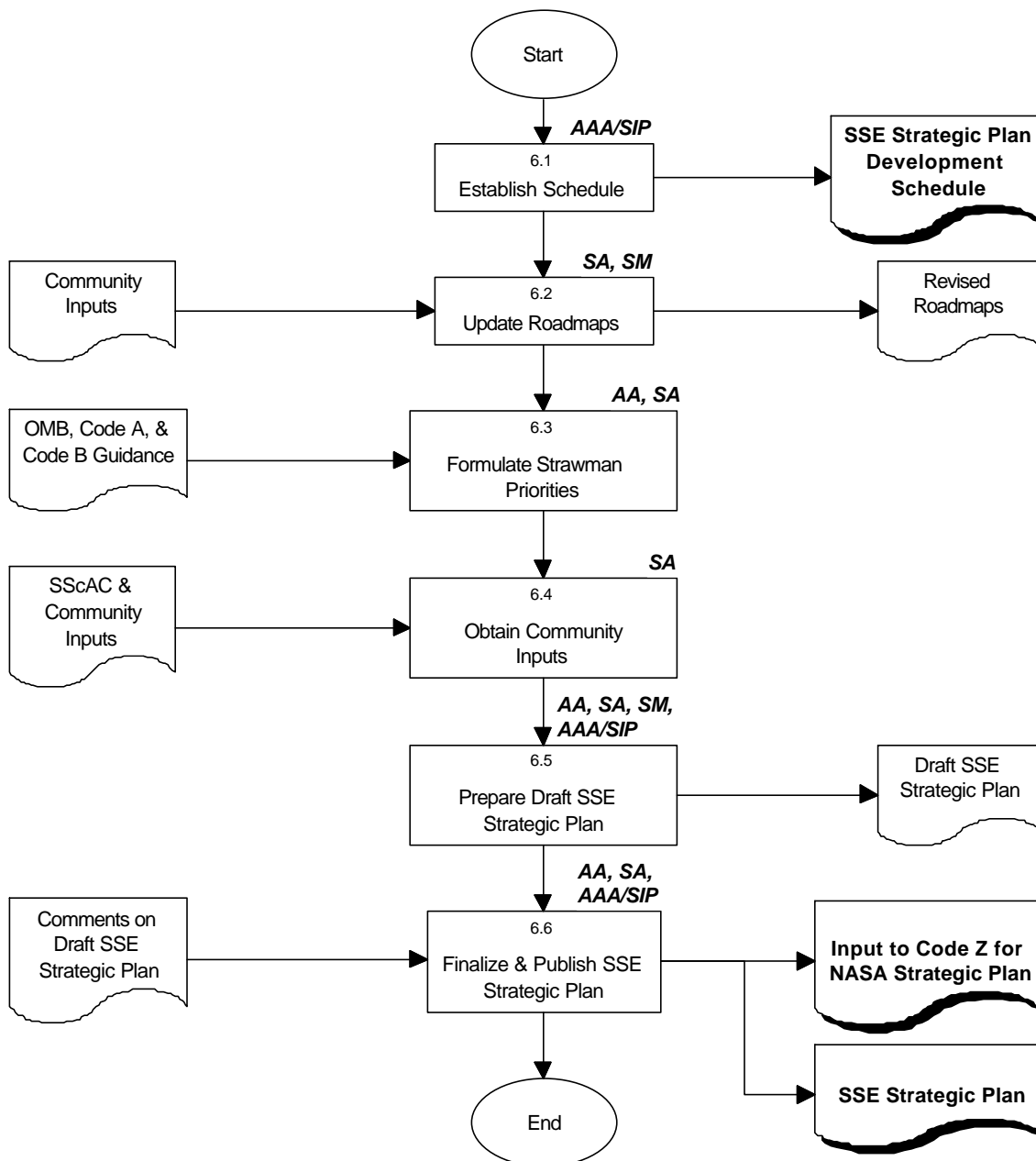
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### 5. FLOWCHART

[NOTE #1: "Quality records" are identified via shadowing of their ANSI symbols.]

[NOTE #2: Process steps are numbered in accordance with their corresponding paragraph numbers in Section 6.]



**LEGEND:**

AA = Associate Administrator for Space Science  
 AAA/SIP = Assistant Associate Administrator for Space Science  
 (Strategic & International Planning)  
 SA = OSS Science Board of Directors  
 SM = OSS Advanced Technology & Mission Studies Division

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**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
6.1	AAA/SIP	<p>In consultation with the Executive Secretary of the SScAC, the Science Board of Directors (Code SA), and Code SM, the AAA/SIP lays out a plan and schedule for the development, review, and publication of the SSE Strategic Plan (SP). After a detailed schedule (with milestones for partial completion) is established, it is documented and disseminated to the SScAC, its thematic sub-committees, the Space Studies Board of the NRC, Code SA, Code SM, and Code SP.</p>
6.2	SA, SM	<p>In conformance to the overall schedule for development of the SSE SP, the Science Board of Directors tasks its SScAC advisory sub-committees or establishes ad hoc community working groups to evaluate existing theme roadmap documents in science and technology for necessary revisions or extensions. Code SM supports the technology components of this activity. These revisions and extensions include deleting obsolete data, updating near- and mid-term planning based on progress and new information, extending the near- and mid-term plan by the amount of time elapsed since the previous roadmaps, and extending the far-term material a comparable amount into the future. Participants in the roadmapping process include not only community members but also industry representatives and individuals from the education and public-information sectors.</p> <p>Information in the science components of the roadmaps focuses on notional missions with appropriate science justification. Technology roadmaps present an analysis of key areas where technological advancement is needed to enable the notional missions described in the science roadmaps. The results of these thematic roadmapping activities are documented in science and technology roadmap documents suitable for use in assessing and advocating alternative space-science program structures over the near-term. These results also support a cursory SSE SP description of options for the mid-term.</p>

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- 6.3 AA, SA Using programmatic, policy, and resource guidance from the Office of Management and Budget (OMB), Code A, and Code B, the AA for Space Science and the Science Board of Directors assemble a strawman program profile consisting of operating missions, missions in development, and desired new starts for the near-term period. Key necessary technology initiatives are also identified. The resulting program is balanced and responsive to current NASA mission thrusts, technical feasibility, and likely resource availability. The science goals and objectives lists are analyzed and refined, and any modifications to the thematic structure of the overall program are defined.
- 6.4 SA The resulting strawman SSE SP is briefed to community representatives, including participants in the science and technology roadmapping activities. Inputs for suggestions or elaborations are obtained. One option for implementing this step is to have a large workshop including NASA science and technology managers and roadmapping participants and other community members.
- 6.5 AA, SA, SM, AAA/SIP In consultation with the Science Board of Directors and taking into account community inputs obtained in Step #6.4, the AA for Space Science makes final program decisions that will be documented in the SSE SP. The AAA/SIP and Code SM assist the Science Board of Directors in preparing a draft SSE SP for external review. Per the established schedule for SSE SP development, this draft is circulated to the community and other stakeholders (including the SScAC and its sub-committees and the Space Studies Board) for comment.
- 6.6 AA, SA, AAA/SIP Taking into account inputs received from stakeholders in response to circulation of the draft SSE SP, the AAA/SIP (in consultation with the AA for Space Science and the Science Board of Directors) revises the draft SSE SP.
- The AAA/SIP collaborates with Code Z personnel to coordinate the revised SSE SP with development of revisions to the NASA Strategic Plan. This entails generating summary information for inclusion in the NASA Strategic Plan.



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Working with OSS graphics specialists, the AAA/SIP compiles images and then interfaces with the NASA Headquarters print shop to produce final printed copies of the SSE SP. The AA for Space Science approves the final SSE SP via signature contained in the printed document. The copies of the SSE SP are broadly distributed to the community and other stakeholders, including administration officials and Congressional members and staff.

### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
SSE Strategic Plan Development Schedule	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 7, Item 4B	Destroy 5 years after supersession or completion.
Input to Code Z for NASA Strategic Plan	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 7, Item 4B	Destroy 5 years after supersession or completion.
SSE Strategic Plan	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 7, Item 4A	* Permanent *  Retire to FRC 5 years after supersession or completion. Transfer to NARA when 10 years old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via shadowing of their ANSI symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]